

Zheng Lu AKA Louis Lu AKA Zheng Louis AKA Zheng Louie

Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act

Date: April 21, 2004

Respondent: Zheng Lu AKA Louis Lu AKA Zheng Louis AKA Zheng Louie

Allegations: A Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act was issued to the respondent for allegedly failing to disclose that he was not licensed with the National Association of Securities Dealers as a series 7 representative, for placing advertisements without the approval of his employing broker-dealer, and for failing to disclose his misdemeanor trespass conviction and probation.

Consent Order

DATE: April 22, 2005

Order: Respondent Zheng Lu entered into a Consent Order whereby (1) he was barred from association with a broker-dealer or investment adviser licensed in Kansas for six months; and (2) ordered to pay a \$3,000 administrative fine.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.